

SPECIFICATIONS
FOR MAGNETIC MEDIA FILING
OF
SUSPICIOUS ACTIVITY REPORTS
BY THE
SECURITIES AND FUTURES INDUSTRIES
(SAR-SF)

FinCEN Form 101

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**DEPARTMENT OF THE TREASURY
INTERNAL REVENUE SERVICE**

These Specifications for Magnetic Media Filing of Suspicious Activity Reports by the Securities and Futures Industry (FinCEN Form 101) were developed under the sponsorship of the following:

Department of the Treasury

Director, Financial Crimes Enforcement Network

Internal Revenue Service

Director, Detroit Computing Center

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Purpose

The purpose of this specification is to provide the requirements and conditions for filing Suspicious Activity Reports by the Securities and Futures Industry (SARSF), FinCEN Form 101 on magnetic media.

The magnetic media forwarded to the Detroit Computing Center (DCC) will be considered as a substitute for the paper document, provided the transaction is accepted by the DCC system. Receipt and acknowledgment of magnetic media is further discussed in a later section.

These specifications apply to the program for the filing of SARSFs submitted on magnetic cartridge, or diskette.

Approval to participate in the magnetic media-reporting program is contingent upon the filer following these steps:

- Review specifications
- File application to participate
- Satisfy Acceptance Testing Procedures
- Receive formal DCC approval
- File reports every two to four weeks (as required)
- Monitor quality

Continued participation in the Magnetic Media Program is contingent upon maintenance of quality standards and timely reporting.

Application for Magnetic Media Reporting

For the purpose of this specification, the FILER is the organization responsible for filing the SARSF. Filers are required to complete an Application for Magnetic Media Reporting (Form DCC-4419). A copy of this form can be found on the FinCEN web site at:

www.fincen.gov/reg_bsaforms.html#magmediafilingA.

Requests for additional information or forms related to magnetic media processing should be addressed to the SARSF Magnetic Media Coordinator at the DCC.

The application should be filed with DCC as soon as possible after receipt of these specifications. DCC will act on the application and notify the applicant of authorization to file. Magnetic media may not be filed with DCC until the applicant has received approval.

Approval of applications to file SARSFs on magnetic media will be contingent upon the applicant satisfactorily passing an acceptance test.

Filing of Magnetic Media Reports

General

DCC will advise magnetic filers when they may begin to file using magnetic media. This will be as early as possible after receipt of the application. Until this notification has been issued, magnetic media will not be accepted.

If files are unreadable due to format errors, etc., we will contact the transmitter by telephone to send a replacement for the file.

Any filer whose error rates remain at a high level on a continuing basis may risk being discontinued as a magnetic media filer.

Filers are required to retain a copy of the SARSF data and all original supporting documentation or business record equivalent for five years from the date of the suspicious activity report. All supporting documentation must be made available to appropriate authorities upon request.

Transmittal Process

Magnetic media files and transmittals are submitted to DCC. Form(s) DCC-4804 and DCC-4802 (for multiple filers), must accompany magnetic submissions (see attachments). **DO NOT MAIL THE MEDIA AND THE TRANSMITTAL SEPARATELY.** DCC encourages the use of a substitute computer generated Form 4804 and/or Form 4802, which includes all information requested on the actual form. Substitute forms should follow the format of the transmittal form.

All submitted magnetic media files, must include the following:

- A Form 4804 or computer generated substitute.
- The magnetic media with an external identifying label.
- A statement on the outside of the shipping container that says 'Attn: Tape Library Deliver unopened: SARSF Magnetic Media ; __ of __'. If there is only one container, mark the outside as 1 of 1. For multiple containers, include the sequence (e.g., 1 of 3, 2 of 3, etc.).
- DCC will not pay or accept 'Collect on Delivery' or 'Charged to IRS' shipments of SARSFs on magnetic media that an individual or organization is legally required to report.

Data Sequencing and Validation Criteria

The following data controls must be followed or the SARSF magnetic media will be rejected. The data records must be in the following sequence:

- Transmitter (1A)
There can only be one of this record type and it must be the first record on the file.
- Parent Financial Institution (2A)
There can be more than one of this record type depending on the number of different broker-dealers, which are included on the file. This record type will immediately precede all records, which relate to the broker-dealer.
- Financial Institution Branch (2B)
There can be more than one of this record type depending on the number of broker-dealer branches, which are being reported. One of these records will immediately precede all SARSF records for the branch.
- Suspicious Activity (3A)
There can be more than one of this record type on the file depending on the number of suspicious activities being reported for a broker-dealer branch.
- Subject Information (4A)
There can be more than one of this record type dependent on the number of persons involved in this suspicious activity.

- Explanation/Description (5A)
There can be more than one of this record type depending on the length of the explanation given for the suspicious activity.
- Branch Summary (9A)
There must be one of these records for each branch (2B record) of a broker-dealer being reported. It is to be the last record associated with the branch.
- Financial Institution Summary (9B)
There must be one of these records for each broker-dealer being reported. It is to be the last record associated with the broker-dealer and will follow the Branch Summary Record (9A) for the last branch reported.
- File Summary (9Z)
There must be one of these records on the file and it must be the last record on the file.

Acceptance Procedures

The Filer will be asked to provide a test file to DCC, which is consistent with these requirements.

Final acceptance of the filer's test file will be as follows:

- The test data will consist of a set of reports, containing the data normally supplied by the filer. The test file should contain between 25 and 50 reports.
- Upon receipt of the filer's test file DCC will test, review and provide feedback to the filer within ten working days.
- If 95% of the filer's test returns are error-free and the file is correctly formatted, final acceptance will be issued by DCC allowing the filer to participate in the Magnetic Media Program.
- When a test file is found to be incorrectly formatted, DCC will identify to the filer the type of errors encountered. A new set of test data should be forwarded to DCC. The filer is responsible for correcting their software to eliminate the identified errors and any related errors.

- If, after three attempts, the filer's test file continues to be unacceptable, the filer must confer with the SARSF Magnetic Media Coordinator and develop an acceptable plan for correcting deficiencies before any further tests are allowed.
- Filers granted acceptance will be notified.
- When several filers use the same service bureau system, only one test file of magnetic returns is required to cover the acceptance of all participating filers.
- DCC will issue a Transmitter Control Code (TCC) to be used with all submissions of SARSFs.

Filing Dates

Filing using magnetic media will be on a continuous basis. Magnetic media must be prepared and submitted to DCC for processing no later than 30 calendar days after the date of initial detection of facts that may constitute a basis for filing a SARSF. If no Subject was identified on the date of detection of the incident requiring the filing, a FI may delay filing a SARSF for an additional 30 calendar days to identify a suspect. In no case shall reporting be delayed more than 60 calendar days after the date of initial detection of a reportable transaction.

Receipt and Acknowledgment of Magnetic Media Files

SARSFs **will not be acknowledged** to the transmitter. Cartridges will be returned **with** the original data removed.

Filing Corrected Reports

If a SARSF, which was prepared and submitted on magnetic media, must be corrected, you must file a complete corrected SARSF as soon as possible. **All fields must be completed with the correct information, NOT JUST THE DATA FIELDS NEEDING CORRECTION.** Corrected and Supplemental SARSFs will be accepted on magnetic media. **Corrected magnetically filed SARSFs must include the appropriate code indicator.**

Magnetic Media Coordinator Contacts

Direct all requests for Magnetic Media related publications or information to the following address:

**SARSF Magnetic Media Coordinator
Internal Revenue Service
985 Michigan Ave.
Detroit, MI 48226-2458
Phone Number (313) 234-2011
Fax Number (313) 234-1614**

General Specifications

Cartridge Specifications

These specifications define the file characteristics acceptable for magnetic media reporting. These characteristics must be followed unless specifically authorized by the DCC in writing.

All records should be fixed in length to the size specified for each record type. Usually DCC will be able to process a compatible tape/cartridge file. The standard file characteristics are 18 or 36 track cartridges, EBCDIC, odd parity, 6250 BPI and **standard labels**. The standard data set name to be used on tapes/cartridges is **ISARP.SARSF.MAG**.

An external label must appear on each tape/cartridge submitted for processing. The following information should appear on the label:

- The transmitters name
- Date of preparation
- **A reel number assigned by the preparer which must match the reel number on the internal label (6 alpha numeric characters)**
- Number of reels in file, including reel sequence number (i.e., 01 of 08)

Note: To allow better control processing of your files, uniquely numbered tape/cartridge numbers must be transmitted when using multiple tape/cartridges.

For the purposes of these specifications the following conventions must be used for internal labels:

- Header Label

Standard headers provided they begin with 1HDR, HDR1, VOL1, VOL2, UHL1, or 'b LABEL'.

Consist of a maximum of 80 positions.

- Trailer Label

Standard trailer labels may be used provided that they begin with 1EOR, 1EOF, EOR1, EOF1, EOVI, or EOVI.

Consist of a maximum of 80 positions.

Diskette Specifications

These specifications define the file characteristics acceptable for diskette media reporting. These characteristics must be adhered to unless specifically authorized by DCC in writing.

All records should be fixed in length to the size specified for each record type.

Usually DCC will be able to process a compatible diskette file. The standard file characteristic is 3.5-inch diskette double sided/double density or double sided/high density. The standard data set name to be used on files is **SARFMAI**.

All diskettes must be generated using MS-DOS on an IBM compatible personal computer in ASCII mode. All alphabetic characters must be in **upper case only**.

An external label must appear on each diskette submitted for processing. The following information should appear on the label:

- Contact Person and Telephone Number
- Date of preparation
- Diskette sequence number (i.e., 01 of 03)
- Coverage beginning and ending dates
- Number of SARF records

The diskette records defined in these specifications should be unblocked 480 character records. The industry standard record delimiter for diskette data records is the two-byte combination of 0D0A hexadecimal characters (carriage return, line feed).

Note: Diskettes will not be returned.

Overview of File

This file is an alternative to filing SARFs on paper. If you file a transaction on MAGNETIC MEDIA DO NOT FILE a paper SARF for the same SARF.

SARFs, which have missing or incomplete information, are considered original (initial) filings. When information becomes available they should be replaced on magnetic media, include the corrected or supplemental indicator code.

All dates are to be in the format of **century**, year, month, day with month and day both **being right justified and zero filled**.

Money amounts are 10 positions and **should be right justified and zero filled**. Enter dollar amounts only; all cents should be rounded up to the next higher dollar amount (i.e., \$10,000.01 should be reported as \$10001).

All name, address, and city fields are to be **left justified and space filled**.

All alphabetic characters must be in upper case.

All name and address fields relating to SARF data must follow the Name Editing Conventions specified in the attachments.

CUSIP numbers must NOT contain leading zeroes unless they are part of the actual CUSIP number.

All entries must be **left justified and space filled**.

Do not include lower case characters in the file.

Do not use low values.

All 'Filler' fields should be space filled.

Record Types (Input)

Transmitter (1A) Record - Required

The first record on each file is to be the transmitter record that will contain information identifying the transmitter (person or organization handling the data accumulation and formatting). There will be only one Transmitter Record on each magnetic media file. Include the following data elements in this record:

Field Pos.	Field Name	Length	Description and Remark
1 – 2	Record Type	2	Required. Enter '1A'.
3 – 37	Transmitter Name	35	Required. Enter the name of individual or organization that is transmitting the transactions on this file.
38 – 67	Transmitter Address	30	Required. Enter the street address of the transmitter.
68 – 92	Transmitter City	25	Required. Enter the city of the transmitter.
93 – 94	Transmitter State	2	Required. Enter the transmitter state in abbreviated form. Use the country and state standard abbreviations in the attachments.
95 – 103	Transmitter Zip Code	9	Required. Enter the transmitter Zip Code.
104 – 106	Transmitter Area Code	3	Required. Enter the transmitter area code.
107 – 113	Transmitter Telephone	7	Required. Enter the telephone number.
114 – 148	Transmitter Contact	35	Required. Enter the name of an official contact for the transmitter.
149 – 157	Transmitter EIN	9	Required. Must be a valid nine-digit number assigned to the transmitter by IRS. Do not enter hyphens, slashes, ALPHA characters, all 9's, or all zeroes.
158 – 165	Coverage Beginning Date	8	Required. This will be the date of the earliest original on the file. It is to be a numeric 8-digit field. The format consists of century, year, month, and day.
166 – 173	Coverage Ending Date	8	Required. This will be the date of the latest original transaction on the file. It is to be a numeric 8-digit field. The format consists of century, year, month, and day.
174 – 181	Transmitter Control Code	8	Required. This is the code assigned by the IRS. This code is also entered on Form 4804.
182 – 509	Filler	328	
510	Format Indicator	1	Required. Enter "1".
511 – 520	User Field	10	

Parent Financial Institution (2A) Record - Required

This record identifies information regarding the Financial Institution Headquarters. The number of Financial Institution (Parent) records will depend on the number of different Financial Institutions, which are included on the file. Include the following data elements in this record:

Field Pos	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter '2A'.
3 – 37	Institution Name	35	Required. Enter the Institution's full legal name.
38 – 67	Institution Address	30	Required. Enter the address of the Institution. Do not abbreviate.
68 – 92	Institution City	25	Required. Enter the city where the Institution is located.
93 – 94	Institution State	2	Required. Enter the two (2) character state code from the standard state code abbreviations in the attachments.
95 – 103	Institution Zip Code	9	Required. Enter the zip code for the Institution.
104 – 112	Institution EIN	9	Required. Enter the EIN of the Parent Broker-dealer.
113 – 120	Transmitter Control Code	8	Required. This is the code assigned by the IRS. This code is also entered on Form 4804.
121 – 131	Central Registration Depository Number	11	Required. Enter the Central Registration Depository Number.
132 – 140	SEC ID Number	9	Required. Enter the SEC ID number. Do not include dash.
141 – 148	National Futures Association Id Number	8	Required. Enter the National Futures Association Id number.
149 – 510	Filler	362	
511 – 520	User Field1	10	

Broker-dealer Branch (2B) Record - Required

This record identifies information on the Financial Institution (FI) branch where the activity occurred. The number of FI Branch records is dependent on the number of branches the FI is reporting on the magnetic media file. Include the following data elements in these records:

Field Pos	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter '2B'.
3 – 7	Branch Code	5	Required, Enter the Branch number for the submitting Branch. This is to be right justified, and zero filled.
8 – 37	Branch Office Address	30	Required. Enter the branch office address.
38	Multiple Branches	1	Required. Enter 'Y' if multiple branch locations were involved.
39 – 63	Branch Office City	25	Required. Enter the branch office city.
64 – 65	Branch Office State	2	Required. Enter the two (2) character state code from the standard state code abbreviations in the attachments.
66 – 74	Branch Office Zip Code	9	Required. Enter the zip code for the branch office.
75 – 510	Filler	437	
511 – 520	User Field	10	

Suspicious Activity (3A) Record - Required

This record identifies and describes the suspicious activity report. It occurs one time per suspicious activity. Include the following data elements in this record:

Field Pos	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter '3A'.
3 – 7	Branch Code	5	Required. Enter the Branch Number for the submitting Branch. This is to be right justified, and zero filled.
8 – 12	Transaction Sequence	5	Required. Enter a sequential number starting with 0001 and Number increment by 1 for each suspicious transaction (3A) record.
13	Report Indicator	1	Required. Enter A for Initial Report B for Corrects Prior Report
14	Multiple Subject or Subject Information Unavailable	1	Required. Enter A for Multiple Subjects B for Subject information unavailable
15 – 22	From Violation Date	8	Enter the violation date or from violation date (if including a range of violation dates). CCYYMMDD format.
23 – 30	To Violation date	8	Enter the ending date of violation (if including a range of violation date) or leave blank. CCYYMMDD format.
31 – 40	Total dollar amount	10	Enter the total dollar amount involved in suspected violation (must be numeric).
41 – 60	Type of Instrument	20	A maximum of 20 instrument types as follows: A = Bonds/Notes B = Cash or Equiv. C = Commercial Paper D = Commodity Future E = Money Market F = Mutual Fund G = OTC Derivatives H = Other Derivatives I = Commodity Options J = Security Futures Products K = Stocks L = Warrants M = Other Securities N = Other Non-Securities O = Foreign Currency Futures P = Foreign Currencies Q = Commodity Type R = Instrument Description S = Market where traded T = Other

Suspicious Activity (3A) Record - Continued

Field Pos	Field Name	Length	Description and Remarks
61 – 80	Commodity type	20	Commodity type identify
81 – 100	Instrument description	20	Instrument description
101 – 104	Market where traded	4	Three or four digit code
105 – 116	CUSIP number 1	12	CUSIP number affected.
117 – 128	CUSIP number 2	12	Additional CUSIP number affected.
129 – 140	CUSIP number 3	12	Additional CUSIP number affected.
141 – 152	CUSIP number 4	12	Additional CUSIP number affected.
153 – 164	CUSIP number 5	12	Additional CUSIP number affected.
165 – 176	CUSIP number 6	12	Additional CUSIP number affected.
177 – 196	Violation Type	20	A maximum of 20 violation types as follows: A = Bribery/Gratuity B = Check fraud C = Computer Intrusion D = Credit/debit card fraud E = Embezzlement/theft F = Futures fraud G = Forgery H = Identity theft I = Insider trading J = Mail fraud K = Money manipulation L = Money laundering/structuring M = Prearranged or other non-competitive trading N = Securities fraud O = Significant wire P = Suspicious documents Q = Terrorist financing R = Fictitious trading S = Wire fraud T = Other

Suspicious Activity (3A) Record - Continued

Field Pos	Field Name	Length	Description and Remarks
197 – 214	Enforcement Agency Contacted	18	Enter all the letters that apply: A = DEA B = US Attorney C = IRS D = FBI E = US Customs F = Secret Service G = CFTC H = SEC I = NASD J = NFA K = NY Stock Exchange L = Other Registered Futures Assoc M = Other registered entity-futures N = Other state/local O = Other SRO (PHLX, PCX, CBOE, AMEX, etc.) P = State securities regulator Q = Foreign R = Other
215 – 249	Other Authority Contacted Or US Attorney Office	35	Enter the name of the Law Enforcement Agency already contacted, if L thru R checked above or the US Attorney Office (B).
250 – 284	Name of Individual Contacted	35	Enter the person contacted from the Enforcement Agency.
285 – 294	Contact Phone Number	10	Enter the phone number including area code of the contact person.
295 – 302	Date Contacted	8	Date contacted
303	Has Reporting Individual/Entity Coordinated this report with another individual/entity	1	A = YES B = NO

Suspicious Activity (3A) Record – Continued

Field Pos	Field Name	Length	Description and Remarks
304– 357	Type of institution	54	Enter two digits for each letter that applies, space fill. A = Agriculture trade B = Affiliate of bank C = Commodity pool D = Commodity trading advisor E = Direct participation program F = Futures commission merchant G = Futures floor broker H = Futures floor trader I = Introducing Broker-Futures J = Investment advisor K = Investment Company L = Market Maker M = Municipal securities dealer N = National Futures Assoc. O = Registered Entity-futures P = Other Registered Futures Q = Securities broker – clearing R = Securities broker – introducing S = Securities dealer T = Securities floor broker U = Securities options broker-dealer V = Self regulatory organization (SRO) W = Specialist X = Subsidiary of bank Y = US government broker-dealer Z = US government interdealer broker AA = Other
358 – 392	Contact for Assistance Name	35	Complete name of Contact person (Last name/first name/middle initial format)
393 – 417	Contact Title/Position	25	Contact Title/Position

Suspicious Activity (3A) Record - Continued

Field Pos	Field Name	Length	Description and Remarks
418 – 420	Contact Area Code	3	Contact area code.
421 – 427	Contact Phone Number	7	Contact phone number.
428 – 435	Prepared Date	8	Date Report prepared.
436 – 437	Number of Subjects	2	Required. Number of Subject Records. Must be equal to the number of Subject 4A Records.
438 – 439	Number of Explanation/ Description records	2	Required. Number of Explanation/Description records Must be equal to the number of Explanation/Description 6A Records.
440 – 510	Filler	71	
511 – 520	User Field	10	

Subject Information (4A) Record - Required

This record contains information related to the Subjects identity. There can be more than one of these records if there are multiple Subjects for the same suspicious activity.

Field Pos	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter "4A".
3 – 7	Branch Code	5	Required. Enter the branch number for the submitting branch.
8 – 12	Transaction Seq. No.	5	Required. Enter the transaction sequence number from the associated 3A record.
13 – 47	Subject's Name	35	Enter the name of the Subject in the format last name/first name/middle initial. Left justified and space filled. Follow the Name Editing Conventions shown in the attachment.
48 – 82	AKA or DBA Name	35	Enter the AKA or DBA name of the subject. Individuals name should follow the format last name/first name/middle initial. Left justified and space filled. Follow the Name Editing Conventions shown in the attachment.
83 – 112	Subject's Occupation	30	Enter the occupation, profession, or business of the suspect (i.e. attorney, securities broker, auto dealer, etc.)".
113 – 142	Subject's Address	30	Enter the street address of the subject. Left justified and space filled.
143 – 167	Subject's City	25	Enter the Subject's city. Left justified and space filled.
168 – 169	Subject's State	2	From the attachment, select the appropriate state code for the suspect.
170 – 178	Subject's Zip Code	9	Enter the zip code for the subject.
179 – 180	Subject's Country	2	From the attachment, select the appropriate country code.
181 – 210	Subject's Email address	30	Enter the Email address of the subject.
211 – 219	Subject's TIN	9	Enter the SSN/TIN of subject.
220 – 237	Subject Account Number 1	18	Enter the account number affected.
238	Subject Account number 1 closed	1	Enter 'Y', if the account number is closed.
239 – 256	Subject Account Number2	18	Enter the account number affected.
257	Subject Account number 2 Closed	1	Enter 'Y', if the account number is closed.
258 – 275	Subject Account Number3	18	Enter the account number affected.
276	Subject Account number 3 Closed	1	Enter 'Y', if the account number is closed.
277 – 294	Subject Account Number 4	18	Enter the account number affected.

Subject Information (4A) Record - continued

Field Pos	Field Name	Length	Description and Remarks
295	Subject Account number 4 Closed	1	Enter 'Y', if the account number is closed.
296 – 303	Subject's Date of Birth	8	Enter Subject's date of birth. It is to be a numeric eight digit field in the format century, year, month, day (i.e. 19470930).
304	Subject's Identification	1	Enter the appropriate code for identification provided as follows: A = Driver's License/State ID B = Passport C = Alien Registration D = Corporate/Partnership Resolution E = Other
305 – 344	Subject's Id Other Description	40	If 'E - Other' enter the description of Identification.
345 – 366	Subject's Identification Number	22	Enter the number used for identification.
367 – 368	Subject's Issuing Authority	2	Enter the appropriate code to designate the state/country where the identification was issued.
369 – 371	Subject's Work Area Code	3	Enter Subject's work area code.
372 – 378	Subject's Work Phone Number	7	Enter Subject's work telephone number.
379 – 381	Subject's Area Code	3	Enter Subject's home area code.
382 – 388	Subject's Phone No.	7	Enter Subject's home telephone number.
389	Subject's Association	1	Is individual/business associated/affiliated with the reporting institution A = yes, B = no.
390 – 510	Filler	122	
511 – 520	User Field	10	

Information Explanation/Description (5A) Record - Required

This record contains a detailed Explanation/Description of known or suspected violation of law. This record may occur multiple times. Include the following data elements in this record:

Field Pos.	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter "5A".
3 – 7	Branch Code	5	Required. Enter the branch number for the submitting branch.
8 – 12	Transaction Sequence No.	5	Required. Enter the transaction sequence number from the associated 3A record.
13 – 510	Explanation/Description	498	Enter a detailed explanation/description of the Suspicious Activity. Upper case characters only. Do not use low values or special characters. Refer to Instructions on the document.
511 – 520	User Field	10	

Branch Summary (9A) Record - Required

There should be one of these records on the file for each broker-dealer branch, which is being reported. This record contains counts of the number of each type record associated with the branch. Include the following data elements in these records:

Field Pos.	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter '9A'.
3 – 7	Branch Code	5	Required. Enter the branch number for the submitting branch. Right justified and zero filled.
8 – 14	Suspicious Activity Count	7	Required. Enter a count of the number of Suspicious Activity Records (3A) for the branch.
15 – 21	Subject Record Count	7	Required. Enter the number of Subject (4A) records for the branch.
22 – 28	Explanation/Description	7	Required. Enter the number of description/explanation (5A) records for the branch.
29 – 510	Filler	483	
511 – 520	User Field	10	

Broker-dealer Parent Summary (9B) Record - Required

There should be one of these records on the file for each broker-dealer that is being reported. This record is to follow the last reported Broker-dealer (Branch) '9A' Summary Record for the broker-dealer. This record contains counts of the number of each type record associated with the broker-dealers. Include the following data elements for these records:

Field Pos.	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter '9B'.
3 – 9	Branch Record Count	7	Required. Enter count of Branch Records for the broker-dealer.
10 – 16	SARSF Count	7	Required. Enter count of SARSF for the financial institution.
17 – 23	Subject Record Count	7	Required. Enter count of Subject records for the broker-dealer.
24 – 30	Explanation/Description Count	7	Required. Enter count of explanation/description records for the broker-dealer.
31 – 510	Filler	481	
511 – 520	User Field	10	

File Summary (9Z) Record - Required

There should only be one of these records on the file and it must be the very last record on the file. This record contains counts of the number of the various record types, which are on the file. These records should contain the following:

Field Pos.	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter '9Z'.
3 – 9	Parent Institution Record Count	7	Required. Enter count of parent institution records.
10 – 16	Branch Transaction Record Count	7	Required. Enter count of branch institution records.
17 – 23	SARSF Count	7	Required. Enter count of SARSF.
24 – 30	Subject Record Count	7	Required. Enter count of Subject records.
31 – 37	Explanation/Description	7	Required. Enter count of explanation/description records.
38 – 510	Filler	474	
511 – 520	User Field	10	

Attachments - Standard Country/State Abbreviations

Country/State	Code	Country/State	Code
Afars & Issas (French)	FT	Canada (cont'd)	
Afghanistan	AF	<u>States/Provinces</u>	
Albania	AL	Prince Edward Is.	PE
Algeria	AG	Quebec	PQ
Andorra	AN	Saskatchewan	SN
Angola	AO	Yukon Terr.	YT
Anguilla	AV	Northwest Terr.	NT
Antarctica	AY	Cape Verde Island	CV
Antigua (Barbuda & Redonda)	AC	Cayman Islands	CJ
Antilles, Netherlands	AE	Czech Republic	CP
Argentina	AR	Central African Republic	CT
Armenia	AM	Chad	CD
Aruba	AW	Channel Islands	OC
Ashmore & Cartier Is.	AT	Chile	CI
Australia	AS	China (Mainland)	CH
Austria	AU	China (Taiwan)	TW
Azerbaijan	AJ	Christmas Islands	KT
Bahamas	BF	Clipperton Island	IP
Bahrain	BA	Cocos Islands	CK
Baker Island	FQ	Columbia	CO
Bangladesh	BG	Comoros Is.	CN
Barbados	BB	Congo (Brazzaville)	CF
Bassas Da India	BS	Congo (Zaire)	CG
Belgium	BE	Cook Is.	CW
Belize	BH	Coral Sea Is. (Terr.)	CR
Benin (Dahomey)	DM	Costa Rica	CS
Bermuda	BD	Croatia	HR
Bhutan	BT	Cuba	CU
Bodnia & Hercegovina	BK	Cyprus	CY
Bolivia	BL	Cyprus - North (Turkish)	CX
Bosnia	BK	Czechoslovakia	CZ
Botswana	BC	Denmark	DA
Bouvet Is.	BV	Djibouti (Formerly Afars & Issas)	DJ
Brazil	BR	Dominica	DO
British Virgin Islands	VI	Dominican Republic	DR
British West Indies	BW	Dronning Maud Land	NQ
Brunei	BX	East Germany	GC
Bulgaria	BU	East Timor	TR
Burkina Faso, Upper Volta	HV	Ecuador	EC
Burma	BM	Egypt	EG
Burundi	BY	El Salvador	ES
Byelarus	BO	England	UK
Cameroon	CM	Equatorial Guinea	EK
Cambodia	CB	Eritrea	ER
Canada	CA	Estonia	EN
<u>States/Provinces</u>		Ethiopia	ET
Alberta	AB	Europa Island	EU
British Columbia	BC	European Communities	EE
Manitoba	MB	Faroe Is.	FO
New Brunswick	NB	Falkland Is. (Islas Malvinas)	FA
New Foundland (Incl. Labrador)	NF	Fiji	FJ
Nova Scotia	NS	Finland	FI
Ontario	ON	France	FR
		French Guiana	FG
		French Polynesia	FP

Attachments - Standard Country/State Abbreviations (continued)

Country/State	Code	Country/State	Code
French Southern & Antarctic Lands	FS	Kuwait	KU
French West Indies	FW	Kyrgyzstan	KG
Gabon	GB	Laos, Peoples Dem. Republic	LA
Gambia, The	GA	Latvia	LG
Gaza Strip	GZ	Lebanon	LE
Germany & Berlin (East)	GC	Lesotho	LT
Germany	GE	Liberia	LI
Georgia	GG	Libya	LY
Ghana	GH	Line Is.	CL
Gibraltar	GI	Liechtenstein	LS
Gilbert Island	GS	Lithuania	LH
Glorioso Islands	GO	Luxembourg (AKA Luxemburg)	LU
Great Britain	UK	Macao	MC
Greece	GR	Macedonia	MK
Greenland	GL	Madagascar	MA
Grenada	GJ	Malawi	MI
Guadeloupe	GP	Malagasy	MS
Guatemala	GT	Malaysia	MY
Guernsey	GK	Maldives	MV
Guinea	GV	Mali	ML
Guinea Bissau	GU	Malta	MT
Guyana	GY	Martinique	MB
Haiti	HA	Mauritania	MR
Heard & McDonald Islands	HM	Mauritius	MP
Holland	NL	Mayotte	MF
Honduras	HO	Mexico	MX
Hong Kong	HK	State	
Howland Island	HQ	Aguascalientes	AG
Hungary	HU	Baja, Calif. (Terr. North)	BA
Iceland	IC	Baja Calif. (Terr. South)	BJ
India	IN	Campeche	CE
Indian Ocean Area French	X9	Chiapas	CI
Indian Ocean Terr. British	IB	Chihuahua	CH
Indonesia	ID	Coahuila de Zaragoza	CU
Iran (Persia)	IR	Colima	CL
Iraq	IZ	Distrito	DF
Iraq-Saudi Arabia, [Neutral Zone]	IY	Durango	DO
Ireland	EI	Guanajuato	GU
Isle of Man	IM	Guerrero	GR
Israel	IS	Hidalgo	HL
Italy	IT	Jalisco	JL
Ivory Coast	IV	Mexico (State)	MX
Jamaica	JM	Michoacan de Ocampo	MC
Jan Mayen	JN	Morelos	MR
Japan	JA	Nayarit	NA
Jarvis Island	DQ	Nuevo Leon	NL
Jersey	JE	Oaxaca	OA
Jordan	JO	Puebla	PB
Juan De Nova Island	JU	Queretaro de Arteaga	QU
Kampuchea	CB	Quintana Roo	QR
Kazakhstan	KZ	San Luis Potosi	SL
Kenya	KE	Sinaloa	SI
Kingman Reef	KQ	Sonora	SO
Kiribati Is.	KI	Tabasco	TB
Korea, People's Republic	KN	Tamaulipas	TA
Korea, Republic of South	KS	Tlaxcala	TL

Attachments - Standard Country/State Abbreviations (continued)

Country/State	Code	Country/State	Code
Mexico (cont'd)		San Marino	SM
State		Sanya (Yemen)	YE
Veracruz-Llave	VC	Sao Tome & Principe	TP
Yucatan	YU	Saudi Arabia	SA
Zacatecas	ZA	Scotland	UK
Micronesia, Federated State	FM	Senegal	SG
Moldova	MD	Serbia	SJ
Monaco	MN	Seychelles	SE
Mongolia	MG	Sierre Leone	SL
Montenegro	MJ	Sikkim	SK
Montserrat	MH	Singapore	SN
Morocco	MO	Slovakia	SQ
Morocco (Spanish)	ME	Slovenia	SI
Mozambique	MZ	Solomon Island	BP
Myanmar, Burma	MQ	Somalia	SO
Namibia (SW Africa)	WA	South Africa	SF
Nauru	NR	Soviet Union (USSR, Russia)	UR
Navassa Island	BQ	Spain	SP
Nepal	NP	Spanish Sahara	SS
Netherlands (Antilles)	NA	Spratley Islands	PG
Netherlands (Holland)	NL	Sri Lanka (Ceylon)	CE
Neutral Zone, S Iraq/Arabia	NT	St. Kitts & Nevis	SC
New Caledonia	NC	St. Helena	SH
New Hebrides	NH	St. Lucia	ST
New Zealand	NZ	St. Pierre & Miquelon	SB
Nicaragua	NU	St. Vincent & Grenadines	VC
Niger	NG	Sudan	SU
Nigeria	NI	Suriname	NS
Niue	NE	Svalbard	SV
Norfolk Island	NF	Swaziland	WZ
Norway	NO	Sweden	SW
Oman (Muscat)	MU	Switzerland	SZ
Pakistan	PK	Syria	SY
Palau	PW	Taiwan	TW
Panama	PN	Tajikistan	TT
Palestinian Autonomous Area	PS	Tanzania	TZ
Papua-New Guinea	PP	Thailand	TH
Paracel Islands	PF	Togo	TO
Paraguay	PA	Tokelau Islands	TL
Peru	PE	Tonga	TN
Philippines	RP	Trinidad & Tobago	TD
Pitcairn Island	PC	Tunisia	TS
Poland	PL	Turkey	TU
Portugal	PO	Turkmenistan	TX
Portuguese TimorPT		Turks & Caicos Is.	TK
Qatar	QA	Tuvalu (Ellice Is.)	TV
Reunion	RE	Uganda	UG
Rhodesia (Zimbabwe)	RH	Ukraine	UP
Romania	RO	Ukranian	UA
Russia	RS	UK Indian Ocean Territory	IO
Rwanda	RW	Union of Soviet Republics	UR
St. Kitts & Nevis	SC	United Arab Emirates	TC
St. Helena	SH	(UAE) (Trucial States)	
St. Lucia	ST	United Arab Republic (Egypt)	EG
St. Pierre & Miquelon	SB	United Kingdom (England,	UK
St. Vincent & Grenadines	VC	Great Britain, Scotland, Wales)	

Attachments - Standard Country/State Abbreviations (continued)

Country/State	Code	Country/State	Code
United Nations	UN	West Bank	WE
United States	US	West Berlin	WB
Upper Volta	UV	West Germany	GE
Uruguay	UY	West Indies French	XQ
Uzbekistan	UZ	Western Sahara	WI
Vanuatu	VU	Western Samoa	WS
Vatican City	VT	Yemen (Aden) (South)	YS
Venezuela	VE	Yemen Republic of (Sabaa)	YM
Vietnam	NM	Yemen (San'A) (North)	YE
Vietnam (North)	VN	Yugoslavia	YO
Virgin Islands (British)	VI	Zaire	1ZR
Wales	UK	Zambia	ZA
Wallis & Futuna	WF	Zimbabwe	ZI
		Unknown	XX
		Various (more than one)	XV

Attachments - Standard State Abbreviations

<u>State</u>	<u>Code</u>
Alabama	AL
Alaska	AK
Arizona	AZ
Arkansas	AR
California	CA
Colorado	CO
Connecticut	CT
Delaware	DE
District of Columbia	DC
Florida	FL
Georgia	GA
Hawaii	HI
Idaho	ID
Illinois	IL
Indiana	IN
Iowa	IA
Kansas	KS
Kentucky	KY
Louisiana	LA
Maine	ME
Maryland	MD
Massachusetts	MA
Michigan	MI
Minnesota	MN
Mississippi	MS
Missouri	MO
Montana	MT
Nebraska	NE
Nevada	NV
New Hampshire	NH
New Jersey	NJ
New Mexico	NM
New York	NY
North Carolina	NC
North Dakota	ND

<u>State</u>	<u>Code</u>
Ohio	OH
Oklahoma	OK
Oregon	OR
Pennsylvania	PA
Rhode Island	RI
South Carolina	SC
South Dakota	SD
Tennessee	TN
Texas	TX
Utah	UT
Vermont	VT
Virginia	VA
Washington	WA
West Virginia	WV
Wisconsin	WI
Wyoming	WY

TERRITORIES

<u>State</u>	<u>Code</u>
American Samoa	AS
Federated States of Mrcronesia	FM
Guam	GU
Marshall Islands	MH
Northen Mariana Islands	MP
Palau Island	PW
Puerto Rico	PR
Virgin Islands	VI

Note: The above Territories are considered States for SARSF processing. Code the Territory in the state field and 'US' in the country field.

Attachments - Zip Code Validation Table

The following table is used to validate all zip-code fields. The table consists of the first three digits of the valid zip-code range by state. Therefore, if a zip-code falls within the given range for the state indicated, it is considered valid. Otherwise an error code will be issued. Consult the U.S. Postal Service Zip-Code Directory to resolve any conflicts between state and zip-codes.

<u>State</u>		
<u>Abbrev.</u>	<u>State</u>	<u>Valid Range</u>
AL	Alabama	350 - 369
AK	Alaska	995 - 999
AS	American Samoa	967 - 967
AZ	Arizona	850 - 865
AR	Arkansas	716 - 729 & 755
CA	California	900 - 966
CO	Colorado	800 - 816
CT	Connecticut	060 - 069
DE	Delaware	197 - 199
DC	District of Columbia	200 - 205
FM	Federated States of Micronesia	969 - 969
FL	Florida	320 - 349 **
GA	Georgia	300 - 319
GU	Guam	969 - 969
HI	Hawaii	967 - 968
ID	Idaho	832 - 838
IL	Illinois	600 - 629
IN	Indiana	460 - 479
IA	Iowa	500 - 528
KS	Kansas	660 - 679
KY	Kentucky	400 - 427
LA	Louisiana	700 - 714
ME	Maine	039 - 049
MH	Marshall Islands	969 - 969
MD	Maryland	206 - 219
MA	Massachusetts	010 - 027 & 055
MI	Michigan	480 - 499
MN	Minnesota	550 - 567
MS	Mississippi	386 - 397
MO	Missouri	630 - 658
MT	Montana	590 - 599
NE	Nebraska	680 - 693
NV	Nevada	889 - 898
NH	New Hampshire	030 - 038
NJ	New Jersey	070 - 089

NM	New Mexico	870 - 884
NY	New York	090 - 149 ***
NC	North Carolina	269 - 289
ND	North Dakota	580 - 588
MP	Northern Mariana Is.	969 -- 969
OH	Ohio	430 - 458
OK	Oklahoma	730 - 749
OR	Oregon	970 - 979
PW	Palau Island	969 -- 969
PA	Pennsylvania	150 - 196
PR	Puerto Rico	006 -- 009
RI	Rhode Island	028 - 029
SC	South Carolina	290 - 299
SD	South Dakota	570 - 577
TN	Tennessee	370 - 385
TX	Texas	750 - 799 & 885
UT	Utah	840 - 847
VT	Vermont	050 - 059
VA	Virginia	220 - 246 & 201
VI	Virgin Islands	008 -- 008
WA	Washington	980 - 994
WI	Wisconsin	530 - 549
WV	West Virginia	247 - 268
WY	Wyoming	820 - 831

**** FL - 343, 345, and 348 are not valid.**

***** NY - Includes 004 Westchester and 063 Fishers Island.**

MILITARY 'STATE'

AE	Armed Forces Africa	090 - 098
AA	Armed Forces Americas (except Canada)	340 - 340
AE	Armed Forces Canada	090 - 098
AE	Armed ForcesEurope	090 - 098
AE	Armed ForcesMiddle East	090- 098
AP	Armed ForcesPacific	962 - 966

Attachments - Standard Abbreviations

<u>Word</u>	<u>Abbreviation</u>
Accounting	ACCTG
Accounts	ACCTS
Administration	ADMIN
Air Force Base	AFB
Apartment	APT
American	AMER
Associates	ASSOC
Association	ASSN
Avenue	AVE
Bank	BK
Banking	BKG
Branch	BR
Broadway	BWY
Building	BLDG
Casualty	CASLTY
Center	CTR
Certificate	CERT
Certificate of Deposit	CD
Circle	CRL
Commerce	CMRC
Commission	COMM
Company	CO
Comptroller	COMPT
Consolidated	CONS
Construction	CONST
Corporation	CORP
Cooperative	COOP
County	CNTY
Court	CT
Credit Union	CU
Department	DEPT
Deposit	DEP
Distributor, Distributing,	DISTB
District	DIST
Division	DIV
Drive	DR
East, Eastern	E
Electrical	ELEC
Exchange	XCHG
Federal	FED
Federal Credit Union	FCU
Finance	FIN
Financial	FINCL
First National Bank	FNB
Foreign	FORGN
General	GEN
Government	GOVT
Group	GRP
Headquarters	HDQTRS
Highway	HWY
Hospital	HOSP
Incorporated	INC

<u>Word</u>	<u>Abbreviation</u>
Industry(ies)	INDUST
Information	INFO
Institute, Institution	INST
Insurance	INS
International	INT
Lane	LN
Limited	LTD
Management	MGMT
Manufacturers	MFTRS
Manufacturing	MFG
Market	MKT
Municipal	MUN
Mutual	MUTL
National	NAT
Northeast	NE
Northern, North	NO
Northwest	NW
Organization	ORG
Park	PK
Place	PL
Plaza	PLZ
Post Office	PO
Railroad	RR
Realty	RLTY
Road	RD
Room	RM
Route	RT
Savings	SAV
Savings and Loan	SL
Security	SEC
Service	SERV
Southeast	SE
Southern, South	SO
Southwest	SW
Street	ST
Suite	STE
Transportation	TRANS
Trust	TR
University	UNIV
US Air Force	USAF
US Army	USA
US Coast Guard	USCG
US Marine Corps	USMC
US Navy	USN
Village	VLGE
Western, West	W

Note: All abbreviations listed may be changed from singular to plural, and vice versa, by the addition or deletion of the letter 's'.

Attachments - Name Editing Instructions

- A. Delete any titles, prefixes, suffixes or other descriptive information such as Mr., Mrs., Dr., Reverend, Partner, or Trustee. Do not delete suffixes which distinguish family members such as Jr., Sr., III or IV. Suffixes should be edited to follow the middle initial (e.g. Doe\ John\L Jr).
- B. Delete all punctuation (e.g., 'JR.' would be submitted as 'JR').
- C. Do not use the following words in fields:
 - a. THE
 - b. SEE ABOVE
 - c. SAME AS ABOVE
 - d. SAME
 - e. COMPUTER GENERATED
 - f. SIGNATURE CARD
 - g. NONE
 - h. NON CUSTOMER
 - i. CUSTOMER
 - j. T/A
 - k. VARIOUS
 - l. OTHER
 - m. N/A
 - n. UNKNOWN
- D. Spanish surnames. Care must be taken in formatting Spanish surnames as the names are usually written in the order of first name, father's last name, and then mother's last name, i.e., Juan Vega Santiago. The father's last name, Vega would be used as the last name; however, both last names should be retained. Example: Vega/Santiago/Juan.
- E. Place a slash (/) before each name (including suffixes) except the first surname (e.g., White/Elizabeth/A) but not between compound names such as 'Van Gogh'.
- F. If only the surname of an individual is present, then place a slash after it (e.g., Jones/).
- G. If a non-individual is listed, do not enter slashes between names. Delete the word, 'The' whenever it appears. Drop the subdivision name (e.g., 'The First National Bank of Chicago-Manchester Branch' will be 'FNB of Chicago-Manchester').

Definition of Terms

<i>AKA</i>	Also known as
<i>b</i>	Denotes a blank position. Enter blanks(s) when this symbol is used.
<i>Corrected</i>	A report which is used to correct a <i>Report</i> that was previously filed.
<i>Currency</i>	For SARSF purposes, currency is the coin and paper money of the United States or any country, which is circulated and customarily used and accepted as money.
<i>DBA</i>	Doing Business As
<i>DCC</i>	The Detroit Computing Center
<i>EIN</i>	Employer Identification Number
<i>File</i>	For purposes of this procedure, a file consists of all magnetic tape, cartridge or diskette records submitted by a transmitter.
<i>SARSF</i>	Suspicious Activity Report By the Securities and Futures Industry, FinCEN Form 101.
<i>SSN</i>	Social Security Number
<i>Subject</i>	For SARSF purposes, a Subject is a person with questionable/suspicious activities.
<i>Transmitter</i>	Person(s) or organization(s) who prepare the magnetic files.